



**south dakota**  
DEPARTMENT OF EDUCATION

Learning. Leadership. Service.



Technical Assistance for Excellence in Special Education

# South Dakota LEA Director Webinar Series

**Webinar #4: Monitoring and  
Results Driven Accountability  
(RDA)**

# Purpose of the Webinar Series

- Identify the components of the general supervision system;
- Provide an overview of regulations related to selected general supervision topics to LEA Directors;
- Provide an opportunity for Q&A on the specific topics in general supervision.

# Webinar Schedule

December 20, 2016

January 23, 2017

February 22, 2017

March 28, 2017

***April 25, 2017***

Child Count

SPP/APR

Dispute Resolution

Monitoring and RDA

***Budget/Fiscal***



# Outcomes for Today

## **Participants will:**

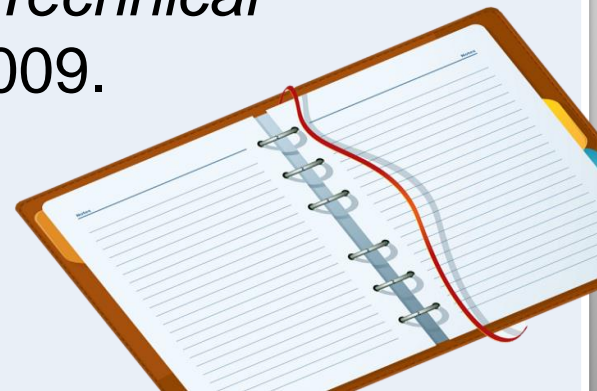
- Identify monitoring as a general supervision responsibility of the SEA.
- Be familiar with the specific Federal and State regulations on monitoring.
- Understand how all components of general supervision are included in monitoring of LEAs.
- Become familiar with revisions to South Dakota's monitoring system under Results-Driven Accountability (RDA).

# Materials and Resources

- Agenda
- PPT Handout

## **Federal Materials** – Office of Special Education Programs (OSEP)

- *Monitoring, Technical Assistance and Enforcement*, OSEP, 2006.
- *Questions and Answers on Monitoring Technical Assistance and Enforcement*, OSEP, 2009.
- *RDA Core Values*
- *RDA Summary*



# What is Results Driven Accountability (RDA)?

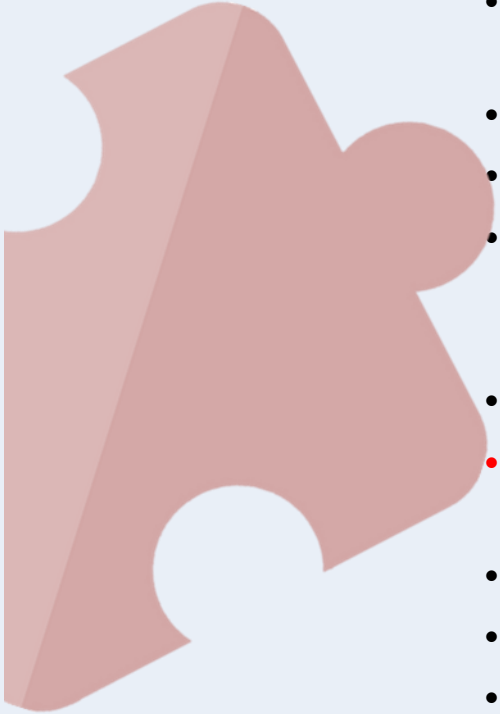
## *Interactive Poll*



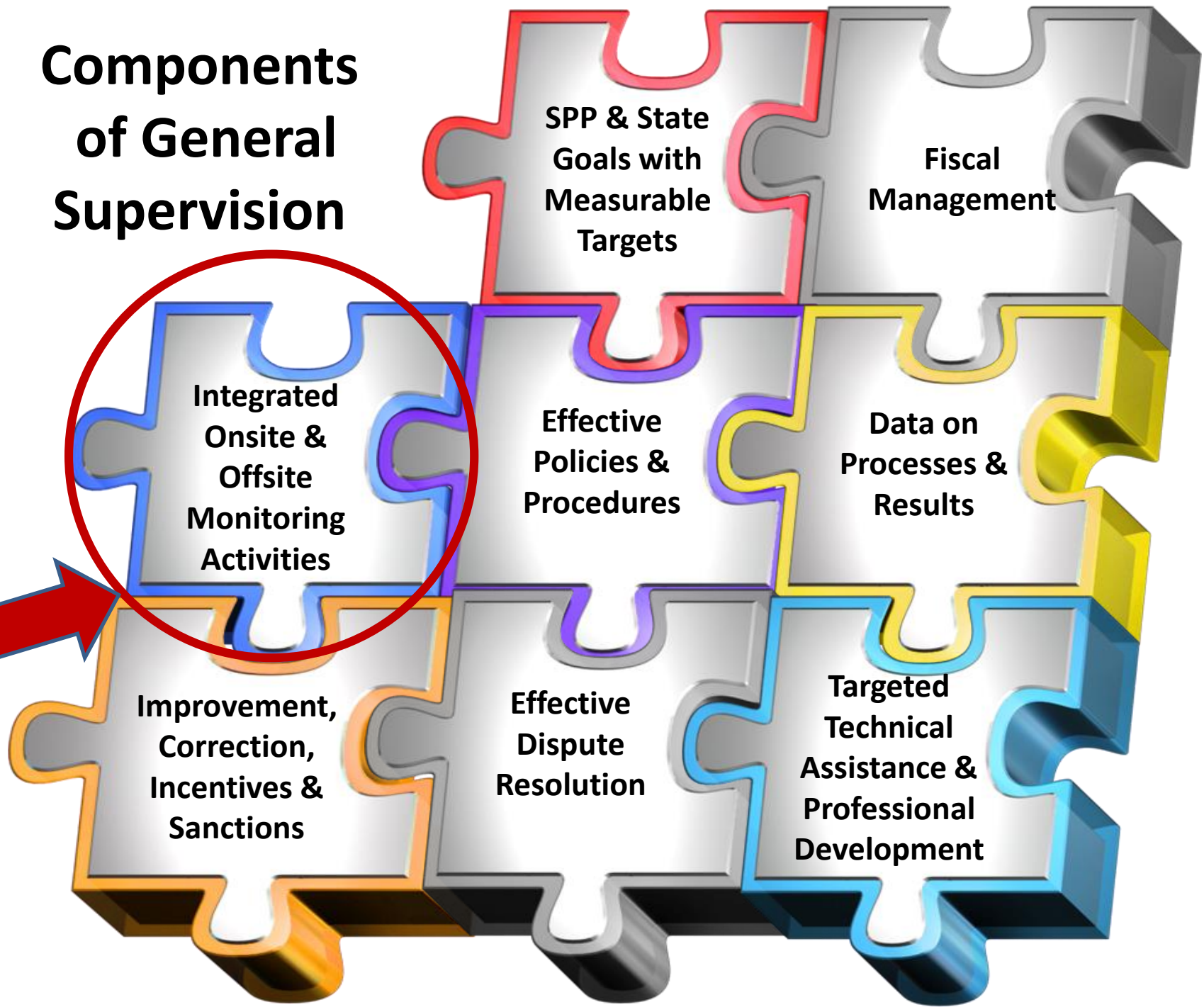


# Big Picture!

## IDEA Part B—Reauthorization 2004

- 
- Sec. 611 AUTHORIZATION; ALLOTMENT; USE OF FUNDS; AUTHORIZATION OF APPROPRIATIONS.
  - Sec. 612 STATE ELIGIBILITY.
  - Sec. 613 LOCAL EDUCATIONAL AGENCY ELIGIBILITY.
  - Sec. 614 EVALUATIONS, ELIGIBILITY DETERMINATIONS, INDIVIDUALIZED EDUCATION PROGRAMS, AND EDUCATIONAL PLACEMENTS.
  - Sec. 615 PROCEDURAL SAFEGUARDS.
  - **Sec. 616 MONITORING, TECHNICAL ASSISTANCE, AND ENFORCEMENT.**
  - Sec. 617 ADMINISTRATION.
  - Sec. 618 PROGRAM INFORMATION.
  - Sec. 619 PRESCHOOL GRANTS.

# Components of General Supervision





# What It's All About!


## Accountability!!!

Section 616 of the 2004 Amendment says,

**“The primary focus of Federal and State monitoring activities:**

- A. Improving educational results and functional outcomes for all children with disabilities; and
- B. Ensuring that States meet those requirements...with a particular emphasis on those requirements that are most closely related to **improving educational results** for children with disabilities.”

# A System of General Supervision



All States have a responsibility, under IDEA, to have a system of special education general supervision that monitors the implementation of the Individuals with Disabilities Education Act (IDEA) by school districts (LEAs) and charter schools.

34 CFR § 300.149

# Integration of Components

- A State's monitoring system must integrate across all components of its general supervision system.
- Multiple data sources and methods are used to monitor every LEA.
- States determine what data sources will inform their determination process, and have the greatest impact on results.

# Sources/Types Data

General Supervision Component	Types of Data
SPP/APR	Targets for Indicators (Compliance and Results)
Policies and Procedures	Comprehensive Plans/Policies, Disproportionality
Fiscal Accountability	Maintenance of Effort (MOE), Appropriate use of IDEA funds
Processes and Results	Section 618 (Child Count), Discipline, LRE
Improvements, Incentives, Sanctions	Continuing noncompliance
Dispute Resolution	Complaints, mediations, due process hearings

# The Turning Point

**“We have to expect the very best from our students – and tell the truth about student performance so that we can give all students the supports and services they need. The best way to do that is by focusing on results.”**

Sec. of Education Arne Duncan

RDA Press Release, March 2012



# Why the Emergence of RDA?

**The data on compliance over recent years is strong.**

**The data on results does not show the same trajectory.**

- Performance of subgroups impacting accountability status.





# Changing Context

**RDA** represents a **shift** from compliance-based monitoring **to** an accountability system based on **differentiated monitoring and support.**

(Results Driven Accountability: Differentiated Monitoring and Support Engagement Decisions, OSEP Webinar, 2016)

# Priorities of RDA

- To help close the achievement gap for students with disabilities;
- To move away from a one-size-fits-all, compliance-based approach;
- To create a balanced system that looks at how well students with disabilities are being educated, in addition to continuing efforts to protect their rights.

# Evolution of Monitoring Practices

- During the 1990s:
  - “Focused monitoring” emerged as a way to bring results into the conversation.
  - 1997 amendments to the IDEA – SPP:
    - Gave rise to the “Continuous Monitoring Improvement Process (CIMP).
    - IDEA requirements were judged to have the strongest relationship to positive outcomes.

# Evolution of Monitoring Practices

- President's Commission on Excellence in Special Education (US DOE, 2002):
  - “Continuous Improvement Focused Monitoring” (CIFM)
    - Focus on low performance in high priority areas
- 2004 amendments to the IDEA:
  - SPP/APR—compliance and performance indicators
    - States submitting data on results

# Evolution of Monitoring Practices

OSEP revises criteria for a new SPP/APR to include a State Systemic Improvement Plan (Indicator 17) to focus on improving measurable results.

2014 – First use of student results data in state determinations.

- Decrease in number of states “meeting requirements.”

# OSEP's Vision For RDA

All components of an accountability system will be aligned in a manner that best supports States in improving results for infants, toddlers, children, and youth with disabilities and their families.



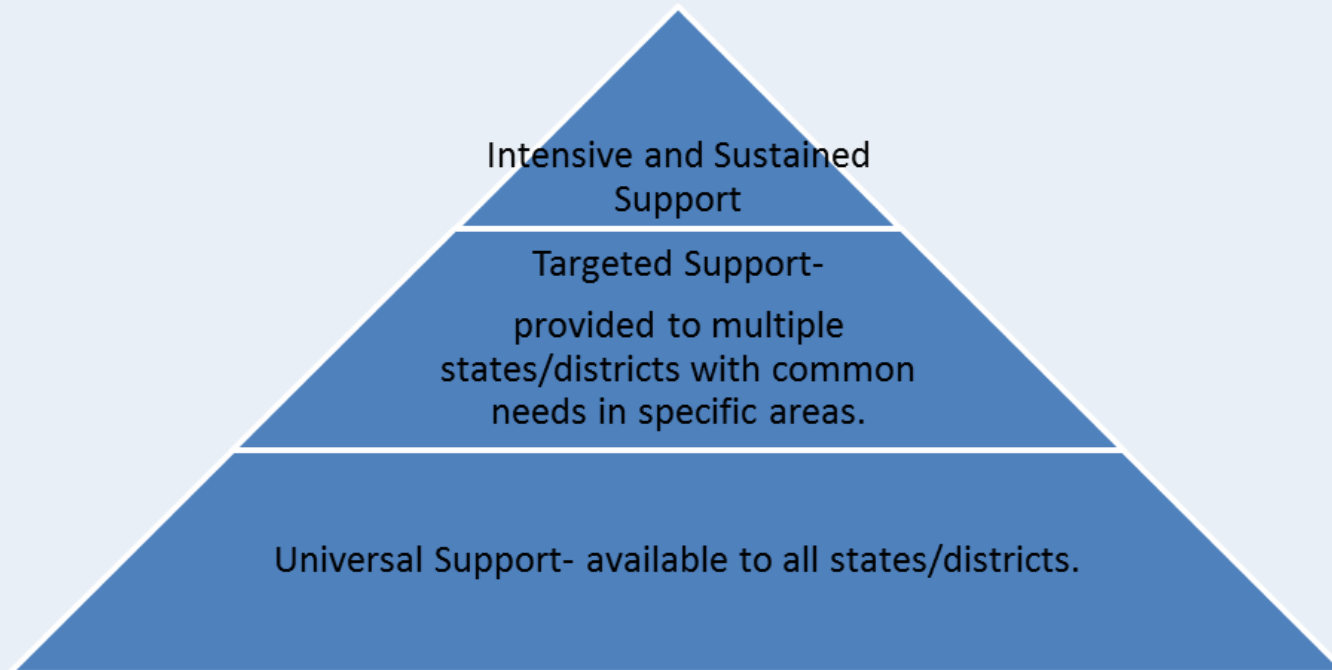


# OSEP's Components of RDA

- State Performance Plan/Annual Performance Report (SPP/APR) measures results and compliance.
- Determinations reflect State performance on results as well as compliance.
- Differentiated monitoring and technical assistance support improvement in all States, but especially low performing States.

# Differentiated Monitoring and Support

Focus resources on those States/LEAs with the greatest needs.



# Organizational Assessment of Risk Factors (OSEP-DMS)

AREA	FACTORS
RESULTS	Based on the Results Matrix percentage for the most current year
COMPLIANCE	Based on the Compliance Matrix percentage for the most current year
DISPUTE RESOLUTION	Based on - 618 dispute resolution data Missing and invalid data Unresolved dispute resolution findings against SEA
FISCAL	Based on – Date of last monitoring visit Changes in leadership Audits - corrective actions Size of award Maintenance of State Financial Support Percent of State Level funds budgeted for Required Activities (Monitoring and Dispute Resolution) Unresolved Fiscal Monitoring Findings

(Results Driven Accountability: Differentiated Monitoring and Support Engagement Decisions, OSEP Webinar, 2016)

# OSEP's Levels of Determination

1. Meets requirements and purposes of IDEA.
2. Needs assistance in implementing the requirements of IDEA.
3. Needs intervention in implementing the requirements of IDEA.
4. Needs substantial intervention in implementing the requirements of IDEA.

# Implications for States

Central question: How do we merge monitoring for results and compliance into one system?



- Results is the driver for data drill down; compliance is a piece of that data.
- Compliance is a means to an end—not the end itself.

# South Dakota Accountability and Monitoring



# Roles in the Review Process

- Education Specialist – Team Lead or Member
  - Team Lead – Organize review and develop Corrective Action Plan
  - Team Member – conduct file reviews and/or interviews
- Jamie Morris – Accountability and Monitoring Program Specialist – Office of Special Education Programs
  - Oversee the Accountability Process
  - Review Corrective Action Plans
  - Email and mail Corrective Action Plan to the District

# Special Education Director's Role

- Notify your special education staff
- Make copies of all the IEP cover sheets that will verify the most recent Child Count.
- Create a list that contains each staff member with the initial and re-evaluations completed by them for the recent school year.

# Purpose of the Review

- The primary focus of the department's monitoring activities shall be on:
  1. Improving educational results and functional outcomes for all children with disabilities; and
  2. Ensuring that states meet the program requirements under Part B of the IDEA, with particular emphasis on those requirements that are most closely related to improving educational results for children with disabilities.

ARSD 24:05:20:18.01

# Which Districts are Reviewed?

- At this time, districts/agencies are reviewed once every four years.
- Districts/agencies can also be reviewed for the following reasons:
  1. The district had a complaint or Due Process in the past year.
  2. If the district applied for Extraordinary Cost Fund and the Department has deemed it necessary to follow-up.

# Process Overview

- Announcement Letter
- Pre-site Activities
- On-Site Activities
- Corrective Action Plan
- Closing the File

# Announcement Letter

- An announcement letter will be sent to each district/agency indicating they will receive an on-site or off-site visit during the upcoming school year.



# Pre-Site Activities

# Pre-site Activities

- Team Leader – sends an email to make initial contact with the District Superintendent and Special Education Director
  - At this point the district's primary contact person will be established.
- Schedule Letter – delivered through email and hard copy
  - Provides the on-site review date(s)
  - Schedule of the Review Day(s)
  - Identifies the Review Team Members

# Child Count Validation

- The team leader will validate the December child count.
- A copy of the front page of each IEP in effect at the current December child count will needed to be given to the team lead.

# State Certified Staff

- Highly Qualified Terminology has changed
- The team lead will review the certification and job duties of district staff.

# Transition

- The district will receive a letter stating the number of transition files per disability category needed for the review.

# Comprehensive Plans

- Prior to the on-site review, the district will submit the most updated comprehensive plan to the team lead for review.
- **Local education agency comprehensive plans -- Contents.**  
Each local education agency must have a current comprehensive plan approved by the school board on file with the district superintendent or designee. Documentation supporting the implementation of the local school district's comprehensive plan shall be maintained by the district for review by Special Education Programs staff during onsite monitoring visits. Districts shall update comprehensive plans consistent with § 24:05:21:01.02 and recertify their content annually.

# On-Site Activities

# Entrance Activities

- Entrance Conference
  - Participants at the entrance conference is left up to the district administration. All participants are welcome.
  - Introduction and Overview of the day
- The review team will meet before getting started with district staff.



# Staff Interviews

- Interviews will be conducted with administration and general education teachers.
- The team leader will meet with the Special Education Director to review the district's policies, procedures, and practices.

# File Reviews

- The files that will be reviewed should contain the current evaluation and IEP.
- All Special Education Teachers, Early Childhood Educators, and Speech Pathologists are reviewed.
- Every teacher will have at least one file reviewed.

# File Reviews

- The team leader will select student files to be reviewed based on the Special Education Teacher's caseload and a representative sample of Disability Categories.
- Technical assistance will be provided to the special education staff through the file review process.
- If any documentation needed by the team is not available in the files reviewed, additional files will be selected.

# State/District Assessment Accommodations

- While completing the file reviews, the team will also be looking at accommodations that are provided during the State/District assessments.

# Indicator 13

- A representative sample of all disability categories will help determine how many files will be chosen for review.
- The team will look at a minimum of 2 files per teacher of transition age.

# Exit Activities

- The Review Team will meet to compile the information gathered.
  
- Exit Conference
  - The team will meet with the staff to review the findings.
  - The final determinations of non-compliance will be made by Special Education Programs.
  - Participation in the exit conference will be decided by the district administrations. We welcome all participants

# Corrective Action Plan - CAP

# Final Report

- OSEP Memo 09-02 identified two federal requirements:
  - Prong 1
    - Fix the file in which non-compliance was identified.
    - If required, participate in Technical Assistance or training
  - Prong 2
    - The district will provide additional documentation as evidence of continued correction of non-compliance.



# CAP Timeline

- A copy of the Accountability Report will be sent as an email and a hard copy.
  - Prong 1 (60 days timeline starts from report date)
    - Individual files requiring immediate correction
  - Prong 2 ( 1 year timeline starts from report date)
    - Additional IEP documentation and/or update policy, procedure, and practice.

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Note: if not completed in a timely manner, sanctions could be applied.

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# CAP Reports

- Public Report
  - Lists the ARSDs that are in non-compliance
  - Posted to the State website
- District Report
  - Prong 1
    - Student/ Teacher Name
    - Specific non-compliance issue
    - What documents needed to be submitted
  - Prong 2
    - Requirements to show continues compliance

# Corrective Action Process

- The team leader will provide technical assistance to the district throughout the corrective action phases.
- Appealing the CAP
  - If the district feels an error was made, please put your appeal in writing along with the reasons why and submit to [Jamie.Morris@state.sd.us](mailto:Jamie.Morris@state.sd.us) for review.

# Closing the File

- When all of the Prong 1 and 2 corrections are finalized, the team lead will notify the State Special Education Programs office.
- A letter stating that all items of non-compliance have been met and the closed CAP will be sent to the superintendent and special education director.

# Common Issues found during Review

# PPWN – Consent to Evaluate

- The school district shall provide notice to the parent that describes any evaluation procedures the district proposes or refuses to conduct.
- The school district shall administer all evaluations needed based on suspected disability category and concerns team has in order to have comprehensive evaluation to make eligibility determinations.

# Documentation of eligibility for Specific Learning Disabilities

- The documentation shall include a statement of:
  - Whether the child has a specific learning disability
  - The relevant behavior – an observation of that child and the relationship of that behavior to child's academic functioning
  - Educationally relevant medical findings, if any

# PPWN-Content

- **Content of notice.** The notice must include the following:
  - A description of the action proposed or refused by the district, an explanation of why the district proposes or refuses to take the action, and a description of any other options the IEP team considered and the reasons why those options were rejected;
  - A description of each evaluation procedure, assessment, record, or report that the district uses as a basis for the proposal or refusal;
  - A description of any other factors which are relevant to the district's proposal or refusal

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# Results Driven Accountability - RDA

# Objectives

- Establish a meaningful and continuous process focused on improving academic results and functional outcomes for students with disabilities by connecting local data to improvement efforts.
- Maintain a high level of compliance with IDEA federal regulations and South Dakota Administrative Rules for special education.
- Support local districts in the process of self-assessment, evaluation, and improvement of compliance and results-focused efforts.
- Link program improvement activities with multi-year planning and supports.

# Pilot Schools

- Beginning a pilot project and information will be shared soon

# Questions?

# Resources

- <http://doe.sd.gov/oess/sped.aspx>
  - Special Education Page
- <http://doe.sd.gov/oess/sped-accountability.aspx>
  - File Review Form
  - Interviews
- <http://doe.sd.gov/oess/sped-IEP.aspx>
  - IEP Forms
  - Eligibility Documents

- Please contact:

Jamie Morris  
Special Education Programs  
[Jamie.Morris@state.sd.us](mailto:Jamie.Morris@state.sd.us)  
605-773-2594

# What is Results Driven Accountability (RDA)?

## *Interactive Poll*



# Summary and Next Steps

- Familiarize yourself with the appropriate regulations.
- Be aware of what the state's monitoring system looks like and how it impacts your district.
- Be familiar with resources available.
- Be proactive!



# Webinar Evaluation

Survey Monkey Link:

***<https://www.surveymonkey.com/r/WTHCG2F>***

Thanks in advance for taking a few moments to complete!

A group of approximately 18 diverse children of various ethnicities and ages are smiling and posing behind a large wooden sign. The sign has a blue background and white text. The children are standing in front of a light-colored brick wall.

**Keep the main thing  
the main thing!**



**UtahStateUniversity**  
CENTER FOR PERSONS WITH DISABILITIES

This document was developed by the Center for Technical Assistance for Excellence in Special Education (TAESE) of the Center for Persons with Disabilities, University Center for Excellence in Developmental Disabilities in the Emma Eccles Jones College of Education and Human Services at Utah State University.

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